

**Records Management Improvement Program
Records Staff Survey**

Name:

Job Title:

- ☐ Records Administrator
- ☐ Records Manager
- ☐ Records Custodian (Only for Large Holdings that are not part of the Central Files)

Organizational Unit:

Please respond to the following statements by indicating the most appropriate degree identified on the scale:

1. Records Administrators and Records Managers have appropriate status and authority.

- ☐ To a Great Extent
- ☐ Good
- ☐ Satisfactory
- ☐ Less than Satisfactory
- ☐ Insufficient
- ☐ Non-Existent

2. The number of skilled staff is adequate to meet my organization's records management requirements.

- ☐ To a Great Extent
- ☐ Good
- ☐ Satisfactory
- ☐ Less than Satisfactory
- ☐ Insufficient
- ☐ Non-Existent

3. Managers and program staff are aware of their statutory obligations with respect to the creation, maintenance, use, and protection of official records.

- ☐ To a Great Extent
- ☐ Good
- ☐ Satisfactory
- ☐ Less than Satisfactory
- ☐ Insufficient
- ☐ Non-Existent

4. All employees who use personal computers have received training and guidance in determining record status of documents that they create with office automation applications.
- ☐ To a Great Extent
 - ☐ Good
 - ☐ Satisfactory
 - ☐ Less than Satisfactory
 - ☐ Insufficient
 - ☐ Non-Existent
5. All employees who use computers are trained in procedures to avoid the unintentional loss of records, including techniques for backing up files.
- ☐ To a Great Extent
 - ☐ Good
 - ☐ Satisfactory
 - ☐ Less than Satisfactory
 - ☐ Insufficient
 - ☐ Non-Existent
6. Systems are in place to capture contextual information about the records (who created the records, when, where, how).
- ☐ To a Great Extent
 - ☐ Good
 - ☐ Satisfactory
 - ☐ Less than Satisfactory
 - ☐ Insufficient
 - ☐ Non-Existent
7. Records in my organization's electronic information systems are readily identifiable.
- ☐ To a Great Extent
 - ☐ Good
 - ☐ Satisfactory
 - ☐ Less than Satisfactory
 - ☐ Insufficient
 - ☐ Non-Existent
8. It can be demonstrated that an electronic record could not have been altered.
- ☐ To a Great Extent
 - ☐ Good
 - ☐ Satisfactory
 - ☐ Less than Satisfactory
 - ☐ Insufficient
 - ☐ Non-Existent

9. When records are maintained in technologically dependent forms (audio/visual, electronic or microform), the hardware and software required to access the records is maintained and available over the life cycle of the record.

- ☐ To a Great Extent
- ☐ Good
- ☐ Satisfactory
- ☐ Less than Satisfactory
- ☐ Insufficient
- ☐ Non-Existent

10. When records are migrated to new technological environments, the migration is done in such a way as to maintain the functional and evidentiary qualities of the record.

- ☐ To a Great Extent
- ☐ Good
- ☐ Satisfactory
- ☐ Less than Satisfactory
- ☐ Insufficient
- ☐ Non-Existent

11. Managers and program staff view information as a corporate resource.

- ☐ To a Great Extent
- ☐ Good
- ☐ Satisfactory
- ☐ Less than Satisfactory
- ☐ Insufficient
- ☐ Non-Existent

Please respond to the following statements by indicating the most appropriate frequency identified on the scale:

12. Officials routinely consult the Records Administrator when formulating policy.

- ☐ Almost Always
- ☐ Most of the Time
- ☐ Often
- ☐ Occasionally
- ☐ Rarely
- ☐ Almost Never

13. The Records Administrator is involved in the development of electronic record keeping systems, including procurement of computer equipment.

- ☐ Almost Always
- ☐ Most of the Time
- ☐ Often

- ☐ Occasionally
- ☐ Rarely
- ☐ Almost Never

14. Records disposition schedules are regularly employed.

- ☐ Almost Always
- ☐ Most of the Time
- ☐ Often
- ☐ Occasionally
- ☐ Rarely
- ☐ Almost Never

15. The Records Administrator, with the assistance of Records Managers, periodically evaluates records management practices.

- ☐ Almost Always
- ☐ Most of the Time
- ☐ Often
- ☐ Occasionally
- ☐ Rarely
- ☐ Almost Never

16. The Records Administrator or Records Manager follows up to determine if offices implement necessary corrective action or recommendations for improvements.

- ☐ Almost Always
- ☐ Most of the Time
- ☐ Often
- ☐ Occasionally
- ☐ Rarely
- ☐ Almost Never

17. My organization has designated an individual to coordinate the vital records program.

- ☐ Almost Always
- ☐ Most of the Time
- ☐ Often
- ☐ Occasionally

- ☐ Rarely
- ☐ Almost Never

18. My organization periodically reviews its vital records plan and updates it as necessary.

- ☐ Almost Always
- ☐ Most of the Time
- ☐ Often
- ☐ Occasionally
- ☐ Rarely
- ☐ Almost Never

Please respond to the following statements by indicating all levels that apply:

19. The Records Administrator briefs senior officials and program managers on the importance of records management and records handling.

- ☐ Procedure is fully integrated into a comprehensive program.
- ☐ Procedure has been tested and evaluated.
- ☐ Procedure has been implemented.
- ☐ Program objective is adequately documented in existing procedures.
- ☐ Program objective is adequately documented in existing policy.
- ☐ No policy or procedures exist.

20. There are provisions in the annual estimates for capital and running costs to enable the records management functions to be performed properly.

- ☐ Procedure is fully integrated into a comprehensive program.
- ☐ Procedure has been tested and evaluated.
- ☐ Procedure has been implemented.
- ☐ Program objective is adequately documented in existing procedures.
- ☐ Program objective is adequately documented in existing policy.
- ☐ No policy or procedures exist.

21. My organization has provided guidance for all employees on the definition of Federal records and non-record materials, including those created using office automation, and the ways in which they must be managed.

- ☐ Procedure is fully integrated into a comprehensive program.
- ☐ Procedure has been tested and evaluated.
- ☐ Procedure has been implemented.
- ☐ Program objective is adequately documented in existing procedures.
- ☐ Program objective is adequately documented in existing policy.
- ☐ No policy or procedures exist.

22. Accountability and responsibility for managing and preserving electronic records has been clearly assigned.

- ☐ Procedure is fully integrated into a comprehensive program.
- ☐ Procedure has been tested and evaluated.

- ☐ Procedure has been implemented.
- ☐ Program objective is adequately documented in existing procedures.
- ☐ Program objective is adequately documented in existing policy.
- ☐ No policy or procedures exist.

23. Each office or program has written guidance on what records, including electronic records, are to be created and maintained and the format of the official copy.

- ☐ Procedure is fully integrated into a comprehensive program.
- ☐ Procedure has been tested and evaluated.
- ☐ Procedure has been implemented.
- ☐ Program objective is adequately documented in existing procedures.
- ☐ Program objective is adequately documented in existing policy.
- ☐ No policy or procedures exist.

24. Procedural controls are in place for all electronic record keeping systems (magnetic and imaging) to protect the integrity of the records and their legal admissibility under the Federal Rules of Evidence.

- ☐ Procedure is fully integrated into a comprehensive program.
- ☐ Procedure has been tested and evaluated.
- ☐ Procedure has been implemented.
- ☐ Program objective is adequately documented in existing procedures.
- ☐ Program objective is adequately documented in existing policy.
- ☐ No policy or procedures exist.

25. Linkages have been created between paper and electronic systems.

- ☐ Procedure is fully integrated into a comprehensive program.
- ☐ Procedure has been tested and evaluated.
- ☐ Procedure has been implemented.
- ☐ Program objective is adequately documented in existing procedures.
- ☐ Program objective is adequately documented in existing policy.
- ☐ No policy or procedures exist.

26. My organization maintains current inventories of its records holdings.

- ☐ Procedure is fully integrated into a comprehensive program.
- ☐ Procedure has been tested and evaluated.
- ☐ Procedure has been implemented.
- ☐ Program objective is adequately documented in existing procedures.
- ☐ Program objective is adequately documented in existing policy.
- ☐ No policy or procedures exist.

27. Finding aids such as indexes, captions, lists of captions, data sheets, shot lists, continuities, review sheets, and catalogs (published or unpublished) are maintained for all audio/visual records.

- ☐ Procedure is fully integrated into a comprehensive program.
- ☐ Procedure has been tested and evaluated.

- ☐ Procedure has been implemented.
- ☐ Program objective is adequately documented in existing procedures.
- ☐ Program objective is adequately documented in existing policy.
- ☐ No policy or procedures exist.

28. File custodians in my organization routinely take prompt action to cut off files, destroy records whose retention periods have expired, and retire eligible records to the Records Center in accordance with schedule provisions.

- ☐ Procedure is fully integrated into a comprehensive program.
- ☐ Procedure has been tested and evaluated.
- ☐ Procedure has been implemented.
- ☐ Program objective is adequately documented in existing procedures.
- ☐ Program objective is adequately documented in existing policy.
- ☐ No policy or procedures exist.

29. Vital records program needs have been incorporated into Continuity of Operations Plans to ensure the availability of needed records and supporting equipment during emergency operations.

- ☐ Procedure is fully integrated into a comprehensive program.
- ☐ Procedure has been tested and evaluated.
- ☐ Procedure has been implemented.
- ☐ Program objective is adequately documented in existing procedures.
- ☐ Program objective is adequately documented in existing policy.
- ☐ No policy or procedures exist.

30. Individuals in my organization manage electronic mail in a way that ensures proper maintenance of messages that are records.

- ☐ Procedure is fully integrated into a comprehensive program.
- ☐ Procedure has been tested and evaluated.
- ☐ Procedure has been implemented.
- ☐ Program objective is adequately documented in existing procedures.
- ☐ Program objective is adequately documented in existing policy.
- ☐ No policy or procedures exist.

31. When scanned, records data is properly indexed to a consistent data standard to allow use by multiple systems.

- ☐ Procedure is fully integrated into a comprehensive program.
- ☐ Procedure has been tested and evaluated.
- ☐ Procedure has been implemented.
- ☐ Program objective is adequately documented in existing procedures.
- ☐ Program objective is adequately documented in existing policy.
- ☐ No policy or procedures exist.

32. My organization maintains data in the Geographic Information Systems to preserve its integrity and usefulness over time.

- ☐ Procedure is fully integrated into a comprehensive program.
- ☐ Procedure has been tested and evaluated.
- ☐ Procedure has been implemented.
- ☐ Program objective is adequately documented in existing procedures.
- ☐ Program objective is adequately documented in existing policy.
- ☐ No policy or procedures exist.

33. Metadata is incorporated into electronic records and is retained for as long as the records containing it are retained.

- ☐ Procedure is fully integrated into a comprehensive program.
- ☐ Procedure has been tested and evaluated.
- ☐ Procedure has been implemented.
- ☐ Program objective is adequately documented in existing procedures.
- ☐ Program objective is adequately documented in existing policy.
- ☐ No policy or procedures exist.

34. My organization is using extendable markup language to enable access to records over multiple platforms.

- ☐ Procedure is fully integrated into a comprehensive program.
- ☐ Procedure has been tested and evaluated.
- ☐ Procedure has been implemented.
- ☐ Program objective is adequately documented in existing procedures.
- ☐ Program objective is adequately documented in existing policy.
- ☐ No policy or procedures exist.

35. My organization has fully integrated its records management program into the information resources management program.

- ☐ Procedure is fully integrated into a comprehensive program.
- ☐ Procedure has been tested and evaluated.
- ☐ Procedure has been implemented.
- ☐ Program objective is adequately documented in existing procedures.
- ☐ Program objective is adequately documented in existing policy.
- ☐ No policy or procedures exist.

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